

(Use several sheets if necessary)

**Application Number**  
**10/008,999**

**Applicant(s)**  
**John Dobak III**

**Filing Date** 12/7/01

Group Art Unit	3738
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U.S. PATENT DOCUMENTS

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11

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Substitute for form 1449A/PTO			Complete if Known	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (use as many sheets as necessary)			Application Number	10/008,999
			Filing Date	12/7/01
			First Named Inventor	John D. Dobak, III
			Group Art Unit	3738
			Examiner Name	Unknown
Sheet 2 of 28			Attorney Docket Number	205071001 (061002)

U.S. PATENT DOCUMENTS						
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publications of Cited document MM-DD-YYYY	Pages, Column, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
[Signature]	AA	2001/0047191		Lasersohn et al.	11/29/2001	APR 11 2002
	AB	2001/0047192		Lasersohn et al.	11/29/2001	
	AC	2001/0047196		Ginsburg et al.	11/29/2001	TECHNOLOGY CENTER

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		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> ( if known)				

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Substitute for form 1449A/PTO		Complete if Known	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (use as many sheets as necessary)		Application Number	1:07,008,999
		Filing Date	12/7/01
		First Named Inventor	John D. Dobak, III
		Group Art Unit	3738
		Examiner Name	Unknown
Sheet 3 of 28	Attorney Docket Number	2050/10-D1 (061002)	

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		Number	Kind Code <sup>2</sup> (if known)			
20	AA	3,460,538		Armstrong	08/12/1969	
	AB	3,612,175		Ford et al.	10/12/1971	
	AC	3,674,031		Weiche	07/04/1972	
	AD	4,484,586		McMickle et al.	11/27/1984	RECEIVED
	AE	4,602,642		O'Hara et al.	07/29/1986	
	AF	4,750,493		Brader	06/14/1988	APR 11 2000
	AG	4,817,624		Newbower	04/04/1989	
	AH	4,860,744		Johnson et al.	08/29/1989	TECHNICAL
	AI	4,883,455		Leonard	11/28/1989	
	AJ	4,904,237		Janese	02/27/1990	
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	AM	5,241,951		Mason et al.	09/07/1993	
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	AO	5,267,341		Shearin	11/30/1993	
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	AQ	5,342,621		Eury	08/30/1994	
	AR	5,358,486		Saab	10/25/1994	
	AS	5,462,521		Brucker et al.	10/31/1995	
	AT	5,496,271		Burton et al.	03/05/1996	
	AU	5,499,973		Saab	03/19/1996	
	AV	5,531,776		Ward et al.	07/02/1996	
	AW	5,545,708		Onwunaka et al.	08/13/1996	
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	AY	5,622,182		Jaffe	04/22/1997	
	AZ	5,630,837		Crowley	05/20/1997	
	BA	5,676,693		LaFontaine	10/14/1997	
BB	5,676,693		LaFontaine	10/14/1997		
BE	5,800,486		Thome et al.	09/01/1998		
BC	5,820,593		Safar et al.	10/13/1998		
BD	5,868,735		Lafontaine	02/09/1999		

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		Filing Date	12/31/01
		First Named Inventor	John D. Dobak, III
		Group Art Unit	3738
		Examiner Name	Unknown
Sheet 4 of 28	Attorney Docket Number	2050710-D1 (061002)	

0U.S. PATENT DOCUMENTS						
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		Number	Kind Code <sup>2</sup> (if known)			
10	BF	5,899,898		Arless et al.	05/04/1999	
	BG	5,910,104		Dobak, III et al.	06/08/1999	
	BH	5,971,979		Joye et al.	10/26/1999	
	BI	6,200,280		Brenneman et al.	03/13/2001	
	BJ	6,213,126		LaFontaine et al.	04/10/2001	
	BK	6,238,428		Werneth et al.	05/29/2001	
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	BM	6,287,326		Pecor	09/11/2001	
	BN	6,290,697		Tu et al.	09/18/2001	
	BO	6,290,717		Philips	09/18/2001	
	BP	6,299,599		Pham et al.	10/09/2001	
	BQ	6,306,161		Ginsburg	10/23/2001	
	BQ	6,312,452		Dobak, III et al.	11/06/2001	
	BS	6,325,818		Werneth	12/04/2001	
	BT	2001/0008975		Dobak, III et al.	07/19/2001	
	BU	2001/0021865		Dobak, III et al.	09/13/2001	
	BV	2001/0021866		Dobak, III et al.	09/13/2001	
	BW	2001/0029394		Dobak, III et al.	10/11/2001	
	BX	2001/0031946		Walker et al.	10/18/2001	
	BY	2001/0032004		Werneth	10/18/2001	
	BZ	2001/0039440		Lasheras et al.	11/08/2001	
	CA	2001/0041923		Dobak, III	11/15/2001	
	CB	2001/0044644		Keller et al.	11/22/2001	

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		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)			
	CC		WO 98/49957		11/12/1998		
	CD		WO 98/38934		09/11/1998		
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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (use as many sheets as necessary)		Application Number	107,008,999
		Filing Date	12/7/01
		First Named Inventor	John D. Dobak, III
		Group Art Unit	3738
		Examiner Name	Unknown
		Attorney Docket Number	2050/1 D1 (061002)
Sheet	5	of	28

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		Office <sup>3</sup>	Number <sup>4</sup> (Kind Code <sup>5</sup> if known)				
9	CE		WO 99/02096	Regents of University of California	01/21/1999		
	CF		WO 99/04211	Cryogen, Inc.	01/28/1999		
	CG		WO 99/44519	Atrionix, Inc.	09/10/1999		
	CH		WO 99/56812	Atrionix, Inc.	11/11/1999		
	CI		WO 00/57823	Alsus Corporation	10/05/2000		
	CJ		WO 01/26590	Innercool Therapies, Inc.	04/19/2001		
	CK		WO 01/64145	Innercool Therapies, Inc.	09/07/2001		
	CL		WO 01/66052	Innercool Therapies, Inc.	09/13/2001		
	CM		WO 01/74276	Innercool Therapies, Inc.	10/11/2001		
	CN		WO 01/78580	Innercool Therapies, Inc.	10/25/2001		
h	CO		WO 01/41695	Theracardia, Inc.	06/14/2001		

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (use as many sheets as necessary)		Application Number	0107008,999
		Filing Date	12/77/01
		First Named Inventor	John D. Dobak, III
		Group Art Unit	3738
		Examiner Name	Unknown
Sheet 6 of 28	Attorney Docket Number	2050/110D1 (061002)	

OTHER PRIOR ART—NON-PATENT LITERATURE DOCUMENTS			
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	CP	Acton, J. C., L. C. Sheppard, N. T. Kouchoukos, J. W. Kirklin, <i>Automated Care System for Critically Ill Patients Following Cardiac Surgery</i> , Dept. of Surgery, University of Alabama in Birmingham, Birmingham, Alabama 35294, pp. 111–115.	
	CQ	Buggy, D., P. Higgins, C. Moran, F. O'Donovan, and M. McCarroll, <i>Clonidine at Induction Reduces Shivering after General Anaesthesia</i> , 1997, pp. 263–267, Can. J. Anaesth., Vol. 44, N. 3.	
	CR	Felberg, R. A., D. E. Krieger, R. Chuang, D. E. Persse, W. S. Burgin, S. L. Hickenbottom, L. B. Morgenstern, O. Rosales, and J. C. Grotta, "Hypothermia After Cardiac Arrest: Feasibility and Safety of an External Cooling Protocol," <i>Circulation</i> , October 9, 2001, 1799–1804.	
	CS	Giesbrecht, G. et al. (1997), "Inhibition of Shivering Increases Core Temperature Afterdrop and Attenuates Rewarming in Hypothermic Humans," <i>American Physiological Society</i> , 1630–1634, July.	
	CT	Leslie, K., D. I. Sessler, A. R. Bjorksten, M. Ozaki, T. Matsukawa, and M. Schroeder, <i>Propofol Causes a Dose-Dependent Decrease in the Thermoregulatory Threshold for vasoconstriction but has Little Effect on Sweating</i> , 08/1994, pp. 353–360, Vol. 81, N. 2.	
	CU	Matsukawa, T. et al. (1995), "Propofol Linearly Reduces the Vasoconstriction and Shivering Thresholds," <i>Anesthesiology</i> , 82(5):1169–1180, May.	
	CV	Rao, S. K., R. W. Schutz, H. Feinberg, and S. Levitsky, "Metabolic Evidence that Regional Hypothermia Induced by Cold Saline Protects the Heart during Ischemic Arrest," <i>Journ. of Surg. Res.</i> 20:421–425 (1976).	
	CW	Shiraki, K., N. Konda, and S. Sagawa, "Esophageal and Tympanic Temperature Responses to Core Blood Temperature Changes during Hyperthermia," <i>J. Appl. Physiol.</i> 61(1):98–102 (1986).	
	CX	Simon, M., C. A. Athanasoulis, D. Kim, F. L. Steinberg, D. H Porter, B. H. Byse, S. Kleshinski, S. Geller, D. E. Orron, and A. C. Waltman; <i>Simon Nitinol Inferior Vena Cava Filter: Initial Clinical Experience</i> , 07/1989, pp. 99–103; Radiology.	

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				Filing Date	12/7/01
				First Named Inventor	John D. Dobak, III
				Group Art Unit	3738
				Examiner Name	Unassigned
				Attorney Docket Number	2050/1 D1 (061002)
Sheet	7	of	28		

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	AD	5,024,668		Peters et al.	06/18/1991	
	AE	5,046,497		Millar	09/10/1991	
	AF	5,089,260		Hunter et al.	02/18/1992	
	AG	5,267,341		Shearin	11/30/1993	
	AH	5,383,854		Safar et al.	01/24/1995	
	AI	5,578,008		Hara	11/26/1996	
	AJ	5,584,804		Klatz et al.	12/17/1996	
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	AN	5,733,318		Augustine	03/31/1998	
	AO	5,800,483		Vought	09/01/1998	
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	AR	5,899,898		Arless et al.	05/04/1999	
	AS	5,906,588		Safar et al.	05/25/1999	
	AT	5,906,594		Scarfone et al.	05/25/1999	
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	AV	5,913,856		Chia et al.	06/22/1999	
	AW	6,019,783		Philips et al.	02/01/2000	
	AX	6,022,336		Zadno-Azizi et al.	02/08/2000	
	AY	6,024,740		Lesh et al.	02/15/2000	
	AZ	6,231,595		Dobak, III	05/15/2001	
	BA	6,241,718		Arless et al.	06/05/2001	
BB	6,251,129		Dobak, III et al.	06/26/2001		
BC	6,251,130		Dobak, III et al.	06/26/2001		
BD	6,253,769		Lafontaine et al.	07/03/2001		
BE	6,254,626		Dobak, III et al.	07/03/2001		

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Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publications of Cited document MM-DD-YYYY	Pages, Column, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
J	BF	6,261,312		Dobak, III et al.	07/17/2001	
	BG	6,264,679		Keller et al.	07/24/2001	
	BH	6,287,326		Pecor	09/11/2001	
	BI	6,290,674		Roue et al.	09/18/2001	
	BJ	2001/0005791		Ginsburg et al.	06/28/2001	
	BK	2001/0007951		Dobak, III	07/12/2001	
	BL	2001/0010011		Aliberto et al.	07/26/2001	
	BL	2001/0011146		Joh et al.	08/02/2001	
	BM	2001/0011184		Dobak, III et al.	08/02/2001	
	BN	2001/0011185		Dobak, III et al.	08/02/2001	
	BO	2001/0014799		Schwartz	08/16/2001	
	BP	2001/0014800		Frazier et al.	08/16/2001	
	BQ	2001/0016763		Lasheras et al.	08/23/2001	
	BR	2001/0016764		Dobak, III	08/23/2001	

FOREIGN PATENT DOCUMENTS							
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publications of Cited document MM-DD-YYYY	Pages, Column, Lines, Where Relevant Passages or Relevant Figures Appear
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)			
J	BS		WO 95/15115		Avital, Boaz	06/08/1995	
	BT		WO 00/62837		Alsus Corporation	10/26/2000	
	BU		WO 01/23035		Theracardia, Inc.	04/05/2001	
	BV		WO 01/30413		Alsus Corporation	05/03/2001	
	BW		WO 01/41695		Theracardia, Inc.	06/14/2001	
	BX		WO 01/41708		Alsus Corporation	06/14/2001	
	BY		WO 01/43661		Radiant Medical, Inc.	06/21/2001	
	BZ		WO 01/49236		Alsus Corporation	07/12/2001	
	CA		WO 01/52781		Radiant Medical, Inc.	07/26/2001	
	CB		WO 01/56517		Alsus Corporation	08/09/2001	
	CC		WO 01/58397		Radiant Medical, Inc.	08/16/2001	
	CD		WO 01/64146		Radiant Medical, Inc.	09/07/2001	

Examiner Signature	Date Considered
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Substitute for form 1449B/PTO		Complete if Known	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (use as many sheets as necessary)		Application Number	10/008,999
		Filing Date	12/3/01
		First Named Inventor	John D. Dobak, III
		Group Art Unit	3738
		Examiner Name	Unknown
		Attorney Docket Number	2050/1 D1 (061002)
Sheet	10 of 28		

OTHER PRIOR ART—NON-PATENT LITERATURE DOCUMENTS		
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
M	CE	Cheong, K. F., and T. C. Low, "Forum: Propofol and Postanesthetic Shivering," <i>Anaesthesia</i> 50:550-552 (1995).
	CF	Colvett, Kyle, A. F. Althausen, B. Bassil, N. M. Heney, F. V. McGovern, H. H. Young, D. S. Kaufman, A. L. Zietman, and W. U. Shipley, "Opportunities with Combined Modality Therapy for Selective Organ Preservation in Muscle-Invasive Bladder Cancer," <i>Journ. of Surg. Oncology</i> 63:201-208 (1996).
	CG	Dubuc, M., M. Talajic, D. Roy, B. Thibault, T. Ki Leung, K. Spector, P. Friedman, "Catheter Cryoablation: A Novel Technology for Ablation of Cardiac Arrhythmias," <i>Abstracts from the 69<sup>th</sup> Scientific Session</i> , -I-557 No. 3259.
	CH	Frank, S. M., P. Satitpunwaycha, S. R. Bruce, C. Holmes, S. Brentzel, D. S. Goldstein, "Sympathoneural and Adrenomedullary Responses to Decreased Core Temperature in Awake Humans," <i>Abstract presented October 2000 in Puerto Rico at Annual Meeting of the American Autonomic Society—Not Yet Published</i> .
	CI	Holzer, M., W. Behringer, W. Schörkhuber, A. Zeiner, F. Sterz, A. N. Laggner, M. Frass, P. Siostrzonek, K. Ratheiser, and A. Kaff, "Mild Hypothermia and Outcome after CPR," <i>Cardiopulmonary and Cerebral Resuscitation: An Update</i> , HACA Study Group, 55-58.
	CJ	Lustgarten, D. L., D. Keane, and J. Ruskin, "Cryothermal Ablation: Mechanism of Tissue Injury and Current Experience in the Treatment of Tachyarrhythmias," <i>Progress in Cardiovascular Diseases</i> , Vol. 41, No. 6, pp. 481-498 (May/June 1999).
	CK	Maas, C., R. Kok, P. Segers, A. Boogaart, S. Eilander, I. de Vries, "Intermittent Antegrade/Selective Cerebral Perfusion During Circulatory Arrest for Repair of the Aortic Arch," <i>Perfusion</i> 12:127-132 (1997).
	CL	Sani, G., F. Benetti, M. A. Mariani, G. Lisi, M. Maccherini, M. Toscano, "Arterial Myocardial Revascularization without Cardiopulmonary Bypass through a Small Thoracotomy," <i>Eur. J. Cardio-Thorac. Surg.</i> 10:699-701 (1996).
	CM	Cabanac, M., "Selective brain cooling and thermoregulatory set-point," <i>Journal of Basic &amp; Clinical Physiology &amp; Pharmacology</i> , Department de Physiologie, Faculte de Medecine, Universite Laval, Quebec QC, CANADA G1K 7P4; Freund Publishing House Ltd., 1998; Pages 3-13
	CN	Capongna, G., et al., "IV clonidine for post-extradural shivering in parturients: a preliminary study," <i>British Journal of Anaesthesia</i> , 1993; 71:294-295
	CO	Haley, et al. "A Randomized Trial of Tirilazad Mesylate in patients with Acute Stroke (RANTTAS)," <i>Stroke</i> 27:1473-1458, 1996.

Examiner Signature	Date Considered
	6/25/01

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Substitute for form 1449B/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (use as many sheets as necessary)		Complete if Known	
		Application Number	107008,999
		Filing Date	12/7/01
		First Named Inventor	John D. Dobak, III
		Group Art Unit	3738
		Examiner Name	Unknown
Sheet	11 of 28	Attorney Docket Number	2050/1- D11 (061002)

OTHER PRIOR ART—NON-PATENT LITERATURE DOCUMENTS			
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
Ph	CP	Lennon, Robert L., et al., "Evaluation of a Forced-Air for Warming Hypothermic Postoperative Patients", ANESTH ANALG, Volume 70; Pages 424-427, 1990	
Ph	CQ	Sharkey, A., et al., "Inhibition of postanesthetic shivering with radiant heat", Anesthesiology, Volume 66, No. 2, February 1987; Pages 249-252	

Examiner Signature	Date Considered
	6/27/03

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Substitute for form 1449A/PTO

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Sheet

12

of

28

**Complete if Known**

Application Number

10/008,999

Filing Date

12/7/01

First Named Inventor

John D. Dobak, III

## Group Art Unit

3738

Examiner Name	
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Unknown
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Attorney Docket Number

2050/1 D1 (061002)

## U.S. PATENT DOCUMENTS

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## FOREIGN PATENT DOCUMENTS

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Signature

Date  
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English language translation is attached.

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Substitute for form 1449A/PTO				Complete if Known	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>				Application Number	10,009,999
				Filing Date	12/7/01
				First Named Inventor	John D. Dobak, III
				Group Art Unit	3738
				Examiner Name	Unknown
				Attorney Docket Number	2050/1 D1 (061002)
Sheet	13	of	28		

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	12/3/0

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Substitute for form 1449A/PTO		Complete if Known	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (use as many sheets as necessary)		Application Number	10/008,999
		Filing Date	12/7/01
		First Named Inventor	John D. Dobak, III
		Group Art Unit	3738
		Examiner Name	Unknown
		Attorney Docket Number	2050/15 D1 (061002)
Sheet	14	of	28

U.S. PATENT DOCUMENTS					
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publications of Cited document MM-DD-YYYY
		Number	Kind Code <sup>2</sup> (if known)		
	AA	4,762,129		Bonzel	08/09/1988
	AB	4,820,349		Saab	04/11/1989
	AC	5,002,531		Bonzel	03/26/1991
	AD	5,306,261		Alliger et al.	03/26/1994
	AE	5,443,456		Alliger et al.	08/22/1995
	AF	5,588,438		McKown et al.	12/31/1996
	AG	5,643,197		Brucker et al.	07/01/1997
	AH	5,735,809		Gorsuch	04/07/1998
	AI	5,861,021		Thome et al.	01/19/1999
	AJ	5,913,885		Klatz et al.	06/22/1999
	AK	5,957,963		Dobak, III	09/28/1999
	AL	6,042,559		Dobak, III	03/28/2000
	AM	6,051,019		Dobak, III	04/18/2000
	AN	6,096,068		Dobak, III et al.	08/01/2000
	AO	6,149,670		Worthen et al.	11/21/2000
	AP	6,149,673		Ginsburg	11/21/2000
	AQ	6,149,676		Ginsburg	11/21/2000
	AR	6,149,677		Dobak, III	11/21/2000
	AS	6,165,207		Balding et al.	12/26/2000

FOREIGN PATENT DOCUMENTS						
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Foreign Patent Document			Date of Publications of Cited document MM-DD-YYYY	Pages, Column, Lines, Where Relevant Passages or Relevant Figures Appear
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)		
	AT		WO 99/37226		07/29/1999	
	AU		WO 99/66970		12/29/1999	
	AV		WO 99/66971		12/29/1999	
	AW		WO 00/57834		10/05/2000	
	AX		WO 00/62837		10/26/2000	
	AY		WO 00/72779		12/07/2000	

Examiner Signature	Date Considered
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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 15 of 28

**Complete if Known**

Application Number	10/008,999
Filing Date	12/7/2001
First Named Inventor	John D. Dobak, III
Group Art Unit	3738
Examiner Name	Unknown
Attorney Docket Number	2050715 D1 (061002)

AZ	WO 00/72787	Alsus Corporation	12/07/2000	
BA	WO 01/03606	Alsus Corporation	01/18/2001	
BB	WO 01/08580	Alsus Corporation	02/08/2001	
BC	WO 01/10323	Radiant Medical, Inc.	02/15/2001	
BD	WO 01/10365	Innercool Therapies, Inc.	02/15/2001	
BE	WO 01/12061	Alsus Corporation	02/22/2001	
BF	WO 01/12122	Alsus Corporation	02/22/2001	
BG	WO 01/13837	Innercool Therapies, Inc.	03/01/2001	
BH	WO 01/13809	Radiant Medical, Inc.	03/01/2001	
BI	WO 01/17471	Alsus Corporation	03/15/2001	
BJ	WO 01/19447	Alsus Corporation	03/23/2001	

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Substitute for form 1449B/PTO		Complete if Known	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (use as many sheets as necessary)		Application Number	107008,999
		Filing Date	11-27-01
		First Named Inventor	John D. Dobak, III
		Group Art Unit	3738
		Examiner Name	Unknown
Sheet 16 of 28	Attorney Docket Number	2050-1-01 (061002)	

OTHER PRIOR ART—NON-PATENT LITERATURE DOCUMENTS		
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
M	BK	Alfonsi, P., D. I. Sessler, B. Du Manoir, J-C. Levron, J-P. Le Moing, M. Chauvin, "The Effects of Meperidine and Sufentanil on the Shivering Threshold in Postoperative Patients," <i>Anesthesiology</i> , July 1998, 89(1):43-48.
	BL	Cheng, C. et al. (1995), "Increasing Mean Skin Temperature Linearly Reduces the Core-Temperature Thresholds for Vasoconstriction and Shivering in Humans," <i>Anesthesiology</i> 82(5):1160-1168, May.
	BM	Deklunder, G., M. Dauzat, J-L. Lecroart, J-J. Hauser, and Y. Houdas, "Influence of Ventilation of the Face on Thermoregulation in Man during Hyper- and Hypothermia," <i>Eur. J. Appl. Physiol.</i> , 1991, 62:342-348.
	BN	Gentilello, L. M., "Advances in the Management of Hypothermia," <i>Horizons in Trauma Surgery</i> , April 1995, 75(2):243-256.
	BO	Giuffre, M. et al. (1991), "Rewarming Postoperative Patients: Lights, Blankets, or Forced Warm Air," <i>Journal of Post Anesthesia Nursing</i> , 6(6):386-393, December.
	BP	Gruffin, Anita, et al.; "Shivering Following Cardiac Surgery: Hemodynamic Changes and Reversal."; <i>Journal of Cardiothoracic Anesthesia</i> ; (February 1987); pp. 24-28; Vol. 1, No. 1
	BQ	Haley, E. C. et al. "A Randomized Trial of Tirilazad Mesylate in Patients with Acute Stroke (RANTTAS)," <i>Stroke</i> , 1996, 27(9):1453-1458.
	BR	Iaizzo; <i>Facial Warming Increases the Threshold for Shivering</i> , 1999, <i>Journal of Neurosurgical Anesthesiology</i> , Vol. 11, No. 4, pp. 231-239.
	BS	Keegan, M. T. et al. "Shivering Complicating the Treatment of Neurologically Impaired Surgical and Intensive Care Unit Patients," <i>Anesthesiology</i> , September 1999, 91(3):874-876.
	BT	Kurz, Martin, et al.; "Naloxone, Meperidine, and Shivering."; <i>Anesthesiology</i> ; (December 1983); pp. 1193-1201; V. 79; No. 6
	BU	Sessler, Daniel I.; "Mild Perioperative Hypothermia"; <i>The New England Journal of Medicine</i> ; pp. 1730-1737; 336:1730-1737; (June 12, 1997)
R	BV	Villamaria, F. J., C. E. Baisden, A. Hillis, M. H. Rajab, and P. A. Rinaldi, "Forced-Air Warming is No More Effective than Conventional Methods for Raising Postoperative Core Temperature After Cardiac Surgery," <i>Journ. Cardiothoracic and Vascular Anesth.</i> , October 1997, 11(6):708-711.

Examiner Signature	Date Considered
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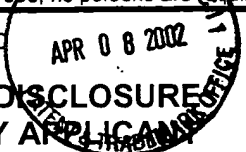
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
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		Application Number	10/008,999
Filing Date	12/7/01	First Named Inventor	John D. Dobak, III
Group Art Unit	3738	Examiner Name	Unknown
Attorney Docket Number	2050/1-D1 (061002)		
Sheet	17	of	28

OTHER PRIOR ART—NON-PATENT LITERATURE DOCUMENTS		
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
	BW	Zweifler, R. M. and D. I. Sessler, "Thermoregulatory Vasoconstriction and Shivering Impede Therapeutic Hypothermia in Acute Ischemic Stroke Patients," <i>Journ. Stroke and Cerebrovascular Diseases</i> , 1996, 6(2):100-104.
	BX	AVECOR Cardiovascular Inc., "BIOtherm Heat Exchanger Instruction Manual," July 1991, 4 pages.
	BY	Bone, M. E. and R. O. Feneck, "Bladder Temperature as an Estimate of Body Temperature during Cardiopulmonary Bypass," <i>Anaesthesia</i> , 1988, 43:181-185.
	BZ	Chan, L. L. et al. "Radiological Placement of 211 Central Venous Catheters: outcome and Complications," <i>Ann. Acad. Med. Singapore</i> , July 1999, 28(4):481-487.
	CA	Cobos, E. et al. "Prevention and Management of Central Venous Catheter Thrombosis," <i>Curr. Opin. Hematol.</i> September 1998, 5-9.
	CB	Cook, L. et al. "Intra-Aortic Balloon Pump Complications: A Five-Year Retrospective Study of 283 Patients," <i>Heart &amp; Lung</i> , May/June 1999, 28(3):195-202.
	CC	Davidson, J. et al. "Intra-Aortic Balloon Pump: Indications and Complications," <i>Journal of the National Medical Association</i> , 90(3):137-140.
	CD	Deakin, C. D. et al. "Thermal Energy Balance as a Measure of Adequate Rewarming from Hypothermic Cardiopulmonary Bypass," <i>Journ. of Cardiothoracic and Vascular Anesth.</i> , August 2000, 14(4):388-392.
	CE	Dodek, A. et al. "Complications of Coronary Arteriography," <i>Can. Med. Assoc. J.</i> , April 15, 1983, 128:934-936.
	CF	El-Rahmany, H. K. et al. "Determinants of Core Temperature at the Time of Admission to Intensive Care Following Cardiac Surgery," <i>Journ. Clin. Anesth.</i> 2000, 12:177-183.
	CG	Elrifai, A. M. et al. "Rewarming, Ultraprofound Hypothermia and Cardiopulmonary Bypass," March 13-16, 1992, <i>Journ. of Extra-Corporeal Tech.</i> , 24(4):107-112.
	CH	Feliciano, D. V. et al. "Metabolic and Nutritional Support by F. B. Cerra," <i>Trauma 3<sup>rd</sup> Ed.</i> 1996, Chapter 62, 1155-1176.

Examiner Signature		Date Considered	4/23/04
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>12</sup>Unique citation designation number. \*Applicant is to place a check mark here if English language Translation is attached.

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PTO/SB/08B (10-96)

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Substitute for form 1449B/PTO		Complete if Known	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (use as many sheets as necessary)		Application Number	10/008,999
		Filing Date	12/7/01
		First Named Inventor	John D. Dobak, III
		Group Art Unit	3738
		Examiner Name	Unknown
		Attorney Docket Number	2050/1-D1 (064002)
Sheet	18 of 28		

OTHER PRIOR ART—NON-PATENT LITERATURE DOCUMENTS		
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
60	CI	Ferris, E. J. et al. "Percutaneous Inferior Vena Caval Filters: Follow-up of Seven Designs in 320 Patients," <i>Radiology</i> , September 1993, 188(3):851-856.
	CJ	Frank, S. M. et al. "Perioperative Maintenance of Normothermia Reduces the Incidence of Morbid Cardiac Events" <i>JAMA</i> April 9, 1997, 277(14):1127-1134.
	CK	Goldman, B. S. et al. "Complications Associated with Use of the Intra-Aortic Balloon Pump," <i>The Canadian Journal of Surgery</i> , March 1982, 25(2):153-156.
	CL	Greenfield, L. J. and A. DeLucia III et al. "Endovascular Therapy of Venous Thromboembolic Disease," <i>Endovascular Surgery: Surgical Clinics of North America</i> , 1992, 72(4):969-989.
	CM	Greenfield, L. J. et al. "Results of a Multicenter Study of the Modified Hook-Titanium Greenfield Filter," <i>Journal of Vascular Surgery</i> , September 1991, 14(3):253-257.
	CN	Grollman, J. H. "Complications of Pulmonary Arteriography," <i>Seminars in Interventional Radiology</i> , June 1994, 11(2):113-120.
	CO	Hanhela, R. et al. "The Effects of Two Rewarming Strategies on heat Balance and Metabolism after Coronary Artery Bypass Surgery with Moderate Hypothermia," <i>Acta Anaesthesiol. Scand.</i> , 1999, 43:979-988.
	CP	Heintzen, M. P. and B. E. Strauer, "Peripheral Arterial Complications after Heart Catheterization," <i>Herz</i> 1998, 23(1):4-20.
	CQ	Hessel, S. J. et al. "Complications of Angiography," <i>Diagnostic Radiology</i> , February 1981, 138:273-281.
	CR	Horowitz, M. B. et al. "Assessment of Complication Types and Rates Related to Diagnostic Angiography and Interventional Neuroradiologic Procedures," <i>Interventional Neuroradiology</i> , 1998, 4:27-37.
	CS	Insler, S. R. et al. "Association Between Postoperative Hypothermia and Adverse Outcome after Coronary Artery Bypass Surgery," <i>Soc. Thorac. Surg.</i> 2000; 70:175-81.
87	CT	Janke, E. L. "Evaluation of Two Warming Systems after Cardiopulmonary Bypass," <i>Brit. Journ. Anaesth.</i> 1996; 77:268-270.

Examiner Signature	Date Considered
	6/25/05

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# **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

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Sheet 1 of 28

## **Complete if Known**

Application Number	10/002,999
Filing Date	12/1/99
First Named Inventor	John D. Dobak, III
Group Art Unit	3738
Examiner Name	Unknown
Attorney Docket Number	2050-1- D1: (061002)

## **OTHER PRIOR ART—NON-PATENT LITERATURE DOCUMENTS**

Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
B	CU	Kirkpatrick, W. G. et al. "Frequency of Complications with Prolonged Femoral Vein Catheterization for Hemodialysis Access," <i>Nephron</i> 1995, 73:58–62.	
	CV	Kurz, A. et al. "Perioperative Normothermia to Reduce the Incidence of surgical-Wound Infection and Shorten Hospitalization," <i>The New England Journ. of Medicine</i> , May 9, 1996, 334(19):1209–1215.	
	CW	Kvilekval, K. H. V. et al. "Complications of Percutaneous Intra-Aortic Balloon Pump Use in Patients with Peripheral Vascular Disease," <i>Arch. Surg.</i> , May 1991, 126:621–623.	
	CX	Leslie, K. et al. "The Implications of Hypothermia for Early tracheal extubation Following Cardiac Surgery," <i>Journ. of Cardiothoracic and Vascular Anesth.</i> December 1998, 12:6:30–34.	
	CY	Levy, J. M. and S. J. Hessel, "Complications of Angiography and Interventional Radiology," <i>The Abdomen and the Pelvis</i> , Chap. 42, 1024–1051.	
	CZ	Mackenzie, D. J. et al. "Vascular Complications of the Intra-aortic Balloon Pump," <i>The American Journal of Surgery</i> , November 1992, 164:517–521.	
	DA	Makhoul, R. G. et al. "Vascular Complications of the Intra-aortic Balloon Pump: An Analysis of 436 Patients," <i>The American Surgeon</i> , September 1993, 59:564–568.	
	DB	Mian, N. Z. et al. "Incidence of Deep Venous Thrombosis Associated with Femoral Venous Catheterization," <i>Acad. Emergency Medicine</i> , December 1997, 4(12):1118–1121.	
	DC	Miller, J. S. et al. "Vascular Complications Following Intra-Aortic Balloon Pump Insertion," <i>The American Surgeon</i> , April 1992, 58:232–238.	
	DD	Molgaard, C. P. et al. "Access-Site Thrombosis after Placement of Inferior Vena Cava Filters with 12–14 F Delivery Sheaths," <i>Radiology</i> 1992, 185:257–261.	
M	DE	Moors, A. H. et al. "Convective Warming After Hypothermic Cardiopulmonary Bypass," <i>British Journ. of Anesth.</i> , 1994, 73:782–785.	
	DF	Moors, A. H. et al. "Convective Warming after Hypothermic Cardiopulmonary Bypass," <i>Brit. Journ. Anaesth.</i> 1994; 73–782–785.	

Examiner Signature

Date Considered

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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 20 of 28

## Complete if Known

Application Number	10/008,999
Filing Date	12/7/01
First Named Inventor	John D. Dobak, III
Group Art Unit	3738
Examiner Name	Unknown
Attorney Docket Number	2050/1 D1 (061002)R 1 1 2002

## OTHER PRIOR ART—NON-PATENT LITERATURE DOCUMENTS

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dg	DG	Mora, C. T. et al. "The Effect of Temperature Management During Cardiopulmonary Bypass on Neurologic and Neuropsychologic Outcomes in Patients Undergoing Coronary Revascularization," August 1966, 112(2):514-522.	
	DH	Noto, T. J. et al. "Cardiac Catheterization 1990: A Report of the Registry of the Society for Cardiac Angiography and Interventions (SCA&I)," <i>Catheterization and Cardiovascular Diagnosis</i> , 1991, 24:75-83.	
	DI	Pais, S. O. et al. "Percutaneous Insertion of the Greenfield Inferior Vena Cava Filter: Experience with Ninety-Six Patients," <i>Journal of Vascular Surgery</i> , October 1988, 8(4):460-464.	
	DJ	Patton, J. H. et al. "Prophylactic Greenfield Filters: Acute Complications and Long-Term Follow-up," <i>Journal of Trauma: Injury, Infection, and Critical Care</i> , August 1996, 41(2):231-237.	
	DK	Pujol, A. et al. "Afterdrop After Cardiopulmonary Bypass: The Value of Tympanic Membrane Temperature Monitoring," <i>Journ. Cardiothoracic and Vascular Anesth.</i> , April 1966, 10(3):326-341.	
	DL	Simon, M. et al. "Simon Nitinol Inferior Vena Cava Filter: Initial Clinical Experience," <i>Radiology</i> , 1989, 172:99-103.	
	DM	Villamaria, F. J. et al. "Forced-Air Warming is No More Effective than Conventional Methods for Raising Postoperative Core Temperature after Cardiac Surgery," <i>Journ. Cardiothorac. Vasc. Anesth.</i> , October 1997, 11(6):708-711.	

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Date  
Considered

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ATTY DOCKET NO. 2050/1 D1 (061002) SERIAL NO.: 10/008,999  
 APPLICANT/INVENTOR: Dobak, John D. III  
 FILING DATE: 12/7/01 GROUP: 3738

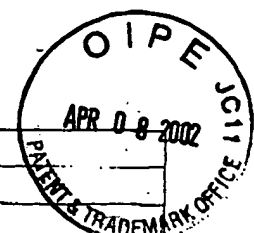
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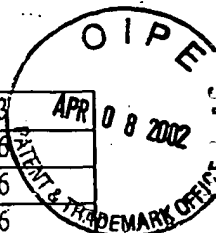
Examiner Initial	Item No.	Document Number	Document Date	Inventor Name	U. S. Class	Sub Class	Filing Date (if appropriate)
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	5,647,051	07/1997	Neer	388	811	

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	5,899,899	05/1999	Arless, et al.	606	22	
	5,902,268	05/1999	Saab	604	96	05/1995
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	5,913,886	06/1999	Soloman	607	108	07/1996
	5,916,242	06/1999	Schwartz	607	113	03/1997
	5,989,238	11/1999	Ginsburg	604	500	11/1998



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Examiner Initial	Item No.	Document Number	Document Date	Issuing Country	Patent Class	Sub Class	Translation Yes	Translation No
		0 664 990	11/1997	EPO				
		2 447 406	03/1980	France				
		EP 0 655 225 A1	05/1993	Europe				
		SU 806 029	02/1981	Russia				
		WO 91/05528	05/1991	PCT				
		WO 93/04727	03/1993	PCT				
		WO 95/01814	01/1995	PCT				
		WO 96/40347	12/1996	PCT				
		WO 97/01374	01/1997	PCT				
		WO 97/25011	07/1997	PCT				
		WO 98/26831	06/1998	PCT				
		WO 98/31312	07/1998	PCT				

### OTHER DOCUMENTS

(Including Author, Title, Date, Pertinent Pages, Etc.)

Examiner Initial	Item No.	Document Information
		Ambrus; <i>The Biphasic Nature and Temperature Dependence of the Activation of Human Plasminogen by Urokinase</i> ; 05/1979; pp. 339-347; Research Communications in Chemical Pathology and Pharmacology, Vol. 24, No. 2.
		Bigelo; <i>Hypothermia, Its Possible Role in Cardiac Surgery</i> ; 11/1959; pp. 849-866; Annals of Surgery, Vol. 132, No. 5.



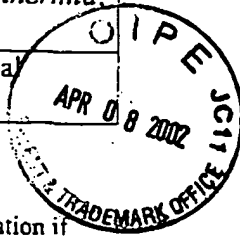
	Cheatle, T.R. et al. (1993); <i>Cryostripping the long and short saphenous veins</i> ; Br. J. Surg. 80:1283.
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	Dexter; <i>Blood Warms as It Blows Retrograde from a Femoral Cannulation Site to the Carotic Artery During Cardiopulmonary Bypass</i> ; 11/1994; pp. 393-397; Perfusion, Vol. 9, NO. 6.
	Gillinov; <i>Superior Cerebral Protection with Profound Hypothermia During Circulatory Arrest</i> ; 11/1992; pp.1432-1439; Ann. Thorac. Surg., Vol. 55.
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Examiner Signature: 

Date Considered: 6/25/03



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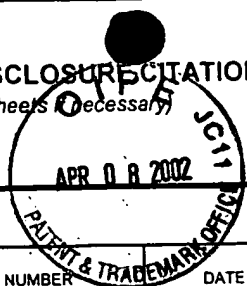
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10/008,999

John D. Dobak, III

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*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
P	1	4,625,712	12/2/86	Wampler	128	1 D	
	2	5,536,251	7/16/96	Evard et al.	604	93	
	3	5,766,151	6/16/98	Valley et al.	604	96	
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## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
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M	1	WO 99/48449	9/30/99	PCT	A61F	7/00		
	2	WO 00/09054	2/24/99	PCT	AG1F	7/12		
	3	WO 00/10494	3/2/00	PCT	AG1F	7/00		
	4	WO 00/38601	7/6/00	PCT	AG1F	7/00		
M	5	WO 00/47145	8/17/00	PCT	AG1F	7/00		

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1	Sweeney, Michael S. MD, <i>The Hemopump in 1997: A Clinical, Political, and Marketing Evolution</i> , Annals of Thoracic Surgery, 1999, Vol. 68, pgs. 761-763.
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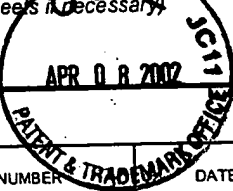
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13		6,033,383	3/7/00	Ginsburg	604	113	
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		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
6		WO 00/48670	8/24/00	PCT	AG1N	1/30		
7		WO 00/51534	9/8/00	PCT	A61F	7/00		
8		WO 00/53135	9/14/00	PCT	A61F	7/00		
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# INFORMATION DISCLOSURE CITATION

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APR 08 2002

Docket Number (Optional)

2050/1 DTG 1002

Application Number

10/008,99932

Applicant(s)

John D. Dobak, III

Filing Date

12/7/01

Group Art Unit

3738

\*EXAMINER  
INITIAL

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

5 Rijken, D.C. et al., *Plasminogen Activation at Low Temperatures in Plasma Samples Containing Therapeutic Concentrations of Tissue-Type Plasminogen Activator or Other Thrombolytic Agents*, Gaubius Institute TNO, Leiden, The Netherlands, March 12, 1990, pps. 47-52.

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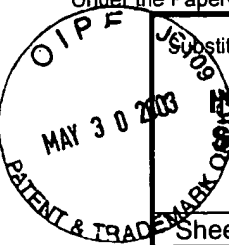
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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1 of 1

Complete if Known	
Application Number	10/008,999
Filing Date	December 7, 2001
First Named Inventor	John Dobak, III
Group Art Unit	3738
Examiner Name	Not Yet Known
Attorney Docket Number	061002

U.S. PATENT DOCUMENTS						
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publications of Cited document MM-DD-YYYY	Pages, Column, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
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	A8	20020095201		Worthen, et al.	07/18/2002	
	A9	20020193853		Worthen, et al.	12/19/2002	

OTHER PRIOR ART—NON-PATENT LITERATURE DOCUMENTS			
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	B1	Kinney, Thomas B., et al.; Optimizing Myocardial Hypothermia: I. Temperature Probe Design and Clinical Inferences; Ann Thorac Surg; Volume 51; pages 278-283 (1991).	
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Examiner Signature	Date Considered <u>1/20/03</u>
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